



The New York State
LIBRARY SERVICES AND TECHNOLOGY ACT
FIVE-YEAR PLAN

October 1, 2002 – September 30, 2007

**A Focused Program for the
Improvement of Library Services for the People of New York State
Utilizing Local, State, and Federal Resources**

**Adopted by the
Board of Regents
June 18, 2002**

**The University of the State of New York
The State Education Department
The New York State Library
Cultural Education Center
Albany, New York 12230
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This document is also available at <http://www.nysl.nysed.gov/libdev/lsta/plan0207.htm> .

Table of Contents

Page

i	EXECUTIVE SUMMARY
1	INTRODUCTION
2	MISSION
2	NEEDS ASSESSMENT
4	SUMMARY OF GOALS
5	EVALUATION PLAN
6	GOALS OF THE PLAN
6	Goal 1: All New Yorkers will have reliable and equitable statewide electronic access to information resources through the creation of NOVEL and through upgrading libraries' technology capabilities to meet users' informational needs.
6	Needs
7	Program Activities
7	<i>Statewide Services</i>
8	<i>Grants Program</i>
8	Key Output Targets
9	Key Outcome Targets
10	Goal 2: All New Yorkers will have access to library resources and services that advance and enhance their lives as workers, citizens, family members, and lifelong learners.
10	Needs
11	Program Activities
11	<i>Statewide Services</i>
12	<i>Grants Program</i>
12	Key Output Targets
13	Key Outcome Targets
14	Goal 3: Libraries, library systems, and the New York State Library will deliver programs that meet and anticipate constantly changing needs for library services.
14	Needs
15	Program Activities
15	<i>Statewide Services</i>
16	<i>Grants Program</i>
16	Key Output Targets
17	Key Outcome Targets
18	Goal 4: New York State libraries, library systems, library organizations, and the New York State Library will strengthen public policy support for upgrading library services for every New Yorker through statewide communication and advocacy efforts.
18	Needs
18	Program Activities
18	<i>Statewide Services</i>
19	<i>Grants Program</i>
19	Key Output Targets
19	Key Outcome Targets
21	STAKEHOLDER INVOLVEMENT
22	COMMUNICATIONS
23	MONITORING PROCEDURES

EXECUTIVE SUMMARY

The following pages describe in detail New York State's Library Services and Technology Act (LSTA) Five-Year Plan for the period October 1, 2002, through September 30, 2007.

The Federal Institute of Museum and Library Services, which administers the LSTA Program, requires a Five-Year Plan that describes the State Library's mission, the library service needs identified for the state, and the ways in which the state plans to use federal LSTA funds to meet those needs.

This Five-Year Plan consists of four major goals:

1. All New Yorkers will have reliable and equitable statewide electronic access to information resources through the creation of NOVEL and through upgrading libraries' technology capabilities to meet users' informational needs.
2. All New Yorkers will have access to library resources and services that advance and enhance their lives as workers, citizens, family members, and lifelong learners.
3. Libraries, library systems, and the New York State Library will deliver programs that meet and anticipate constantly changing needs for library services.
4. New York State libraries, library systems, library organizations, and the New York State Library will strengthen public policy support for upgrading library services for every New Yorker through statewide communication and advocacy efforts.

Each of these four goals is closely linked to the recommendations issued in 2000 by the New York State Regents Commission on Library Services (listed under "Needs Assessment") and to one or more of the six purposes of LSTA (also listed under "Needs Assessment").

The Regents Commission, charged with taking a visionary look at the future of library services and with developing a comprehensive set of policy recommendations to improve library services to the people of New York State in the 21st century, made its recommendations after a two-year study of library services throughout the State. The study included surveys of public library issues and school library media services and an analysis of the demographics of New York State from 1920 to 1998. Data from a 1998 survey of construction needs conducted by the New York Library Association and the New York State Library also provided data for the Commission's report.

The identification of the goals and significant components of this LSTA Five-Year Plan are also closely tied to the results of a major evaluation of the first four years of the LSTA program and to the work of the planning team for NOVEL, the New York Online Virtual Electronic Library.

In the description of each of the four goals and its supporting activities, the plan notes specific evaluation measures, i.e., key output targets and key outcome targets. The State Library will track outputs and outcomes, enabling accurate evaluation of the success of the program in reaching its goals, as well as efficient and effective use of LSTA resources. In the third year of the plan, the State Library will establish a committee of internal staff and representatives from the library community to determine how to design the next evaluation for the LSTA program.

This plan was developed in consultation with the LSTA Advisory Council and the Regents Advisory Council on Libraries. It has been available for public comment at a number of points during its development, and incorporates input from many key stakeholder groups.

In addition to including a wide range of stakeholders in the crafting of the second LSTA Five-Year Plan, the State Library will continue to involve stakeholders in various aspects of its implementation. The Regents Advisory Council on Libraries will ensure that the execution of the plan is coordinated with the overall plan and priorities of the New York State Library through a unified approach to statewide library policy.

LSTA Five-Year Plan

October 1, 2002 through September 30, 2007

INTRODUCTION

The Library Services and Technology Act (LSTA), a federal program for libraries administered by the Institute of Museum and Library Services (IMLS), requires a five-year plan from each state. This document outlines New York's second LSTA Five-Year Plan, developed from the findings and recommendations of the recent broad-based Regents Commission on Library Services and from the evaluation study of the first four years of the former plan carried out by an independent evaluation consultant. The plan will cover the period October 1, 2002, through September 30, 2007, or the federal fiscal years 2003 through 2007.

The Regents Commission on Library Services was appointed by the Board of Regents of The University of the State of New York. Because libraries, including the New York State Library, are the responsibility of the Board of Regents, policy on library services is part of Education policy in New York State.

The State Library includes the Division of Library Development and the Research Library. The Division of Library Development provides leadership, funding, and expert assistance for all New York's libraries and library systems. Staff experts work with librarians, trustees, public officials, and local leaders to ensure that library resources are available to all their communities. Library Development administers more than \$100 million in State and federal aid to New York's libraries, and helps them to participate in federal, State, and private funding programs such as E-Rate telecommunications discounts and Gates Library Foundation State Partnership Grants.

The Research Library is the principal library for New York State government and serves New Yorkers and New York's libraries statewide. Its collection of more than 20 million items makes it one of the 125 largest research libraries in North America. It is the only state library to qualify for membership in the Association of Research Libraries.

More than 7,000 libraries serve the people of New York. Most of these libraries are linked with others in resource-sharing library systems and networks. New York's LSTA program reaches many of these libraries through their systems.

Public Libraries and Library Systems: Currently 750 public libraries and 334 branch libraries serve the people of New York State. All but one of the 750 public libraries are members of one of the State's 23 public library systems. The 26 central and co-central libraries of the public library systems provide reference and information service to residents throughout the service areas of the systems.

School Libraries and Library Systems: Forty-two school library systems enable more than 4,100 school libraries in public schools and more than 450 of the 2,200 libraries in nonpublic institutions to participate in database development, resource sharing with all types of libraries, professional development, and other services.

Reference and Research Library Resources Systems: Nine regional consortia, encompassing all of New York State, include libraries in public and private colleges and universities, special libraries, public library systems, and school library systems in a complex network of resource sharing. These systems serve their regions and the entire State as an important link to the rich and varied resources of the college and university libraries. During the 2000–2001 academic year, the State had 274 degree-granting institutions of higher education, including 83 public, 141 independent, and 50 proprietary.

MISSION

The mission of the New York State Education Department—“To raise the knowledge, skill, and opportunity of all the people in New York”—provides direction for libraries, archives, and museums, as well as the formal educational structure of schools and colleges.

The mission of the New York State Library, through the Division of Library Development and the Research Library, is “to provide leadership and guidance for the planning and coordinated development of library services and to serve as a reference and research library for the people of the State.”

The State Library works in partnership with the three types of library systems to carry out planning and coordination for the development of library services throughout the State.

NEEDS ASSESSMENT

For the five-year period October 1, 2002, through September 30, 2007, New York will base the goals and activities of its Library Services and Technology Act (LSTA) program on the findings and recommendations of the Regents Commission on Library Services. This Commission was appointed in 1998 to develop and recommend to the New York State Board of Regents a vision for statewide library services in the 21st century. The Commission members represented all types of library institutions and organizations in New York State as well as the education and business communities.

Between September 1998 and June 2000, the full Commission met 12 times. Two task forces, established early in the process, focused on a vision for 21st century library service and ways to achieve the greatest access to library service, respectively. These task forces, whose members represented a variety of statewide library roles and backgrounds, met seven times between September 1998 and September 1999.

The Commission authorized two surveys by the Center for Applied Research in Library and Information Science, based at the University at Buffalo. One survey addressed public library issues; the second focused on school library media programs and their impact on student achievement. The Commission also asked Dr. James B. Chapin to report on and analyze the demographics of New York State. His report, *Demographics of New York State, 1920–1998*, provided a context for the Commission’s broad examination of library services.

The Commission held two rounds of regional public hearings. The first group of five hearings, held in May and June 1999, offered the public an opportunity to discuss the future of New York's library services and suggest improvements.

The second group of hearings, held in April and May 2000, sought input on a preliminary draft of the Commission's Report. More than 500 New Yorkers, representing a broad range of constituents from the general public; school, academic, and business communities; and State and national library organizations, provided testimony. Panel presentations and open discussions at the New York Library Association (NYLA) Annual Conferences in October of 1998 and 1999 provided opportunities for further comment. More than 150 participants attended each of two sessions. From November 1999 through May 2000, six regional focus groups met to discuss issues involving the three types of library systems in New York State.

In its report, entitled *Meeting the Needs of all New Yorkers: Library Service in the New Century* (see Appendix A or <http://www.nysl.nysed.gov/rcols/finalrpt.htm>), the Commission reached the following conclusions about the libraries in New York State (summarized from the report):

- Library service around the State is uneven and inconsistent.
- More than one million New Yorkers have no access to a local public library.
- Many library buildings are inadequate to meet growing access and technology needs.
- Many New York school students have inadequate library resources.
- Library users don't have access to a universal and reliable core collection of electronic resources.
- Most New Yorkers don't have access to primary source research collections.
- New York libraries, particularly in urban areas, cannot meet the growing needs of their special populations concerning critical literacy and information literacy skills.
- There is a critical shortage of certified and qualified staff that can adequately meet user needs in New York's urban libraries and in the State Library.

The Commission Report provides a vision to transform New York's libraries and provide all New Yorkers with access to quality library services in the 21st century, no matter where they live, work, or attend school. At the July 2000 meeting of the New York State Board of Regents, the final report of the Commission was presented and its recommendations adopted as Regents initiatives. Those initiatives are listed below and will appear again in the descriptions of the goals of this LSTA Plan.

1. Create NOVEL, the New York Online Virtual Electronic Library, to deliver high-quality, reliable digital information to all New Yorkers.
2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.
3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.

4. Promote equitable library services for all New Yorkers through a need-based formula to reduce disparities in public library funding, and create NY EXCELS to promote excellence in all type of libraries and library systems through enabling and incentive aid.
5. Provide support for public library construction, expansion, and renovation to ensure that New York's libraries are accessible to all library users and can accommodate advances in technology.
6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.
7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.
8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.
9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.
10. Provide leadership for change by strengthening the expertise and accountability of the New York State Library and by creating a statewide advocacy coalition.

This plan, developed from the major needs assessment carried out by the Regents Commission and the State Library, also operates under purposes established in federal LSTA law. Each state may determine which purposes its program will address. The following are the purposes for the proposed reauthorized LSTA anticipated to become law in 2002:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
2. Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks;
3. Providing electronic and other linkages among and between all types of libraries;
4. Developing public and private partnerships with other agencies and community-based organizations;
5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

SUMMARY OF GOALS

New York State's LSTA Five-Year Plan consists of four goals with their program activities, key output targets, and key outcome targets. Each of these goals, listed below, is related to one or more of the 10 Regents Initiatives based on the recommendations of the Regents Commission and to one or more of the six LSTA purposes.

1. All New Yorkers will have reliable and equitable statewide electronic access to information resources through the creation of NOVEL and through enhancement and expansion of libraries' technology capabilities to meet users' informational needs.
2. All New Yorkers will have access to library resources and services that advance and enhance their lives as workers, students, family members, and lifelong learners.
3. Libraries, library systems, and the New York State Library will deliver programs that meet and anticipate constantly changing needs for library services.
4. New York State libraries, library systems, library organizations, and the New York State Library will strengthen public policy support for upgrading library services for every New Yorker through statewide communication and advocacy efforts.

The State Library will carry out the goals of this plan through both Statewide Services and a Grants Program. The grant categories will be defined in annual Grant Program Guidelines. The State Library has identified all library systems--public library systems, reference and research library resources systems, and school library systems--as well as the central libraries of all public library systems and Yonkers Public Library as eligible to submit grant applications.

EVALUATION PLAN

The process of developing a Request for Proposal for evaluation of New York's first LSTA Five-Year Plan, intensive work with the evaluation firm that received the contract, and the State Library's work with a planning consultant on developing a new LSTA Five-Year Plan have all helped the State Library to identify a need to institutionalize evaluation methods as part of ongoing operations.

Over the five years of the next LSTA Five-Year Plan, the State Library intends to develop a training program for State Library and library system staff to assist them in using both performance (outputs) and results (outcomes) measures in their progress towards excellence. In addition, State Library staff will work with an evaluation consultant to develop a framework of appropriate measures for specific categories of subgrants. The State Library will convene several ad hoc committees from the library community to discuss these measures and test their validity.

As the State Library moves forward with its plan of incorporating outcome-based evaluation within its operation and with the projects supported by LSTA, grant applicants will be expected to frame their applications to reflect this type of evaluation for categories in which it may be required. They will identify the anticipated outputs and outcomes in their applications and report on the results at the end of the project.

To measure the progress of Statewide Services activities, the State Library expects to use a variety of measures to collect both quantitative and qualitative data, including web-based and telephone surveys and focus groups. In presenting each of the four goals, the Five-Year Plan notes specific evaluation measures, along with the anticipated outputs and outcomes. State Library staff will track outputs and outcomes annually.

In the third year of the plan, the State Library will establish a committee of both internal staff and representatives from the library community to determine how to design the next evaluation for the LSTA program.

GOALS OF THE PLAN

Goal 1: All New Yorkers will have reliable and equitable statewide electronic access to information resources through the creation of NOVEL and through enhancement and expansion of libraries' technology capabilities to meet users' informational needs.

This goal supports the following:

Regents Initiatives:

1. Create NOVEL, the New York Online Virtual Electronic Library, to deliver high-quality, reliable digital information to all New Yorkers.
2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.
7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.
8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.
9. Support and enhance a skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and education resources in a variety of formats, in all types of libraries, for individuals of all ages
2. Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks
3. Providing electronic and other linkages among and between all types of libraries
4. Developing public and private partnerships with other agencies and community-based organizations

Needs

The Regents Commission on Library Services found that New Yorkers' access to electronic information resources through libraries was inequitable and inconsistent, and that many library buildings are inadequate to meet changing technology needs. Library users need a wide array of reliable electronic resources that include core collections, specialized collections, and primary resources in digital format, as well as qualified library staff to develop these resources and to train users. New York State also needs an improved technology infrastructure, including broadband telecommunications access, to make the resources readily available throughout all geographic areas. The Commission foresaw the creation of NOVEL to bring all these elements into one highly visible program for improving library services in New York.

After publication of the Commission Report, the State Librarian appointed a NOVEL Planning Team. The team of 29 library and education leaders met several times and hosted a statewide

forum attended by 200 librarians, educators, and community leaders. The Planning Team, with the input of the forum participants, identified the following five initiatives (not in priority order):

- Increase access to electronic resources on a statewide basis.
- Expand resource sharing in New York State to improve electronic and traditional access to library resources for all users.
- Develop a coordinated program for the digitization of information resources in New York libraries and other repositories.
- Enhance the availability of high-speed telecommunications for New York's libraries across all regions of the State.
- Develop a NOVEL user interface (or portal) that integrates the services and resources brought together under NOVEL.

Program Activities

Statewide Services

<i>ACTION</i>	<i>TIMEFRAME</i>
<ul style="list-style-type: none"> • Carry out the August 2001 NOVEL Implementation Plan. (See Appendix B or http://www.nysl.nysed.gov/library/novel/finalpln.htm for a copy of the plan.). 	FY2003–2007
<ul style="list-style-type: none"> ▪ Develop a communications plan that will provide broad and deep awareness of the NOVEL program among New Yorkers. 	FY2003
<ul style="list-style-type: none"> ▪ Continue to implement the Electronic Doorway Library recognition program as libraries meet the criteria for Basic, Advanced, or Leader status. (See Appendix C or http://www.nysl.nysed.gov/libdev/edl/thirdpln.htm#033 for <i>Doorways to Information in the 21st Century: Every New York Library an Electronic Doorway Library</i>, pp. 16-19.) 	FY 2003–2007
<ul style="list-style-type: none"> • Expand partnerships with other units within State government, private industry, and the nonprofit sector that will result in increased information access through technology and increased knowledge of emerging technologies. 	FY2003–2007
<ul style="list-style-type: none"> ~ Coordinate with the Gates Library Foundation the implementation of the Gates Initiative Training Program Grant to provide further technology training for New York's public libraries. 	FY 2003–2004
<ul style="list-style-type: none"> ~ Partner with the Governor's Office for Technology to provide libraries with access to information about new trends in emerging technologies and opportunities for libraries' participation in statewide plans. 	FY2003–2007
<ul style="list-style-type: none"> ~ Coordinate with government agencies that can help libraries with cooperative telecommunications efforts locally and regionally, specifically to create statewide broad-band telecommunications access. 	FY2003–2005
<ul style="list-style-type: none"> • Support libraries' and library systems' efforts to secure E-Rate telecommunications discounts. 	FY2003–2007

- ~ Assist libraries in taking advantage of all possible telecommunications discounts. FY2003-2007
- ~ Provide access for libraries to E-Rate Central Help Desk. FY2003-2007
- ~ Ensure that libraries' and library systems' technology plans are approved by established deadlines. FY2004
- Expand access to electronic information provided by the State Library both onsite and through the library's website. FY2003-2007
 - ~ Redesign the State Library's website to provide clear avenues of access. FY2003-2004
 - ~ Enrich the online catalog, Excelsior, with bibliographic records that link directly to electronic resources. FY2003-2004
- Enhance access to full-text electronic federal and New York State documents. FY2003-2007
- Participate in consortia to expand State Library holdings of electronic resources such as e-books and databases. FY2003-2007
- Negotiate with publishers and vendors to include provisions for interlibrary loan of electronic resources from the State Library to a wider population. FY2003-2007

Grants Program

In the area of Technology, the LSTA Grants Program will address the categories of access/electronic content and technology training. The Technology grants program will focus on enhancing local capacity of systems and central libraries and their ability to expand partnerships and cooperative activities in the various categories. Applicants will be expected to link their projects to Goal 1, to the overall NOVEL Implementation Plan and to the applicant's Plan of Service or long-range plan.

TIMEFRAME: FY2003-2007.

Key Output Targets

- Eighty percent of public school libraries will be Electronic Doorway Libraries by 2007.
- The number of libraries registered to participate in EmpireLink/NOVEL will reach 4,200 by 2007.
- Use of NOVEL/EmpireLink electronic resources will increase 50 percent by 2007.
- By 2004, 500 public libraries and 1,500 library staff will participate in a Gates Foundation-sponsored training program.
- By 2007, 4,400 library staff will participate in NOVEL training.
- Approximately 400 libraries will receive E-Rate discounts annually between FY2003 and 2007. The amounts received will average \$12 million annually.
- The State Library will make a usability test of its redesigned website by 2004.
- By 2003, three electronic methods will be available to users to ask questions of the State Library.

- At least 90 percent of reference requests received electronically will be answered within three business days by 2003.
- By 2003, the Research Library will provide 40 hours of weekly telephone coverage of the NOVEL HelpDesk, and 90 percent of HelpDesk questions will be answered within 24 hours.

Key Outcome Targets

- By 2006, 30 percent of a sampling of New York adult residents will indicate in a statewide telephone survey that they have heard of NOVEL; 15 percent of New York residents will indicate that they have used NOVEL; and 5 percent will say that they or members of their family have benefited from access to NOVEL's 24/7 core collection of reliable electronic resources.
- By 2006, at least 90 percent of library and library system staff who have attended a NOVEL training session will indicate in focus groups that they feel confident in promoting and facilitating use of NOVEL 24/7 core collection resources with their customers.
- By 2006, 80 percent of New York's public school libraries will meet at least the Basic status for EDL libraries.
- By 2003, 80 percent of a sampling of State Library website users will indicate in a web-based survey that they have successfully located specific information, e.g., found a book in the online catalog or obtained the full text of a scanned government document, within five minutes.

Goal 2: All New Yorkers will have access to library resources and services that advance and enhance their lives as workers, students, family members, and lifelong learners.

This goal supports the following:

Regents Initiatives:

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.
3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.
6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.
7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.
8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.
9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
4. Developing public and private partnerships with other agencies and community-based organizations
5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

New York is a highly diverse state, with both large numbers of people in densely populated urban areas and smaller numbers in large, sparsely populated areas. This diversity requires a complex network of library services to ensure that all residents of the State can locate and obtain the information they need to advance and enhance their lives.

At least three million adults in New York State read at the lowest literacy level and lack the basic skills needed to function successfully in society. Because the State is a port of entry for immigrants and dozens of languages other than English are spoken by nearly four million New

Yorkers, many residents need to learn English as a second language. Family literacy needs are high as well. The children of parents who lack language and literacy skills often experience lower academic achievement. When children do not read outside school or during the summer, they are likely to lose the reading gains made during the school year.

To strengthen the ability of libraries to provide a broad range of literacy education in their communities, the Regents Commission recommended that libraries be recognized as providers of alternative education programs that support English literacy, information literacy, and family literacy. English and family literacy programs should include a combination of adult education to improve reading and writing skills; early-childhood education that focuses on pre-literacy skills; and parenting education that teaches families how to participate in their children's education. All library users need information literacy—the ability to locate, evaluate, organize, and use information effectively—to become effective lifelong learners.

The economic development of New York State depends on having a well-educated and highly skilled population and on businesses that have access to current, reliable information as well as research information. Libraries, now more than ever, are important to residents of New York State who are building job-readiness skills and to businesses seeking to improve the economic climate of their communities. The libraries of higher education institutions are a major component of the network of valuable research information contributing to the economy of the State. The specialized libraries in health care institutions are an important source of health information which has been identified as a number one information need by consumers.

Program Activities

Statewide Services

<i>ACTION</i>	<i>TIMEFRAME</i>
<ul style="list-style-type: none"> • Increase the visibility of and participation in New York's Statewide Summer Reading Program. 	FY2003–2007
<ul style="list-style-type: none"> ~ Expand partnerships among library systems, public libraries, schools, corporations, the Legislature, and others to improve publicity, promotion, and usage of New York's Statewide Summer Reading Program. 	FY2003–2007
<ul style="list-style-type: none"> ▪ Strengthen the State Library's partnership with the State Education Department's Office of Elementary, Middle, Secondary and Continuing Education (EMSC), school library systems, and others to improve and enhance New York's school library media programs. 	FY 2003-2007
<ul style="list-style-type: none"> ~ Develop and implement a new School Library Support Aid program that will provide funds to high-need school districts to increase the number of certified staff and strengthen school library media programs. 	FY2003-2007
<ul style="list-style-type: none"> ~ Provide expert assistance to school library systems in their efforts to strengthen local school library media centers. 	FY2003-2007
<ul style="list-style-type: none"> • Partner with EMSC, the Department of Labor, and others to increase the visibility of library programs and services that contribute to workforce development and economic revitalization. 	FY2003–2007

- Encourage full participation of libraries and library systems in the Alliance for Family Literacy publicity campaign and training programs and in family literacy grants. FY2003–2007
- Partner with EMSC to implement the Reading Excellence Act grant program in New York State and to encourage full participation of libraries and library systems as partners with eligible school districts. FY2003–2005
- Increase the visibility of and participation in the Great New York ReadAloud Program. FY2003–2007
 - ~ Convene a representative advisory group to make suggestions for increasing visibility and program participation. FY2003
 - ~ Coordinate the implementation of the advisory group's recommendations. FY2004–2006
- Partner with school and public library systems to increase awareness of New York State's two regional and two sub-regional Libraries for the Blind and Physically Handicapped to increase significantly the number of New Yorkers with print-related disabilities receiving library services. FY2003–2007
- Participate in the development of the 2-1-1 New York Collaborative Program, sponsored by United Way affiliates and the New York State Association of Information and Referral Services. FY2003–2007
- Partner with reference and research library resources systems to promote and enhance the services of their special client populations. FY2003–2007
- Increase the visibility of Research Library programs and services available to all New Yorkers to promote economic development and lifelong learning. FY2003–2004
- Expand use of Research Library resources by providing timely access to collections and information. FY2003–2007

Grants Program

In the area of Special Services, the LSTA Grants Program will address the categories of services to special client populations and services to families and youth. The former may include projects in the areas of adult literacy, outreach, economic opportunity, and services to special client needs identified in systems' approved Plans of Service. This category will support statewide reading initiatives, including the Statewide Summer Reading Program and the Great New York ReadAloud. It will also support services to individuals, small businesses, and academic and health care libraries and will encourage partnerships between libraries and the business community to further local economic development.

Services to families and youth will support projects targeted at families and youth, including enhancing student achievement. Projects in these categories will promote and encourage partnerships among literacy, social services, cultural, and other community agencies appropriate to the project's content.

TIMEFRAME: FY2003–2007.

Key Output Targets

- The number of participants in the Statewide Summer Reading Program will exceed one million by 2005.
- The number of New Yorkers participating in the Great New York ReadAloud will increase by 10 percent each year.
- The number of school library media centers with certified school library staff will increase by 20 percent by 2007.
- To increase the visibility of the Research Library, the staff will develop two general brochures, five specialized subject guides, and at least two online finding aids annually between 2002 and 2007.

Key Outcome Targets

- By 2006, 50 percent of a sampling of New York residents will indicate in a statewide telephone survey that they have heard of the Statewide Summer Reading Program and/or the Great New York ReadAloud at their local library; 20 percent of New York residents with children ages 4 to 18 will indicate that they or their families have participated in the Statewide Summer Reading Program; and 5 percent will say that their children's reading skills have benefited from participation in library-sponsored reading programs.
- By 2007, at least 80 percent of Research Library users who request that the Research Library acquire a new title will receive the title within 24 hours from the date it is received by the library.

Goal 3: Libraries, library systems, and the New York State Library will deliver programs that meet and anticipate constantly changing needs for library services.

This goal supports the following:

Regents Initiatives:

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.
3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.
4. Promote equitable library services for all New Yorkers through a need-based formula to reduce disparities in public library funding, and create NY EXCELS to promote service excellence in all types of libraries and library systems through enabling and incentive aid.
5. Provide support for public library construction, expansion, and renovation to ensure that New York's libraries are accessible to all library users and can accommodate advances in technology.
6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.
8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.
9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
2. Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks
3. Providing electronic and other linkages among and between all types of libraries
4. Developing public and private partnerships with other agencies and community-based organizations
5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

All New Yorkers should live in a community that has access to, and supports, a quality public library. The Regents Commission found that the levels of library service available to residents of the State are grossly uneven, ranging from world-class to woefully deficient. More than one million New Yorkers have no local public library at all. Too many New Yorkers are using library buildings that are inadequate and unsafe, and too many libraries are not accessible to all in their communities. The entire State, but particularly urban areas, are experiencing a shortage of professional librarians. At the same time that demand for services is rising, the ability of urban libraries to attract and retain a well-trained and effective workforce has eroded seriously.

Throughout the State, all types of libraries need programs of high-quality continuing staff development to attract and keep flexible staff who are responsive to the new demands placed on libraries. In a time of constant change in both technology and expectation, library staff must be versed in the concepts of change management and the use of a variety of evaluation methods to identify needs and propose solutions.

Program Activities

Statewide Services

<i>ACTION</i>	<i>TIMEFRAME</i>
• Partner with library systems and others to develop and fully implement the New York's Excellent Library Service Program (NY EXCELS) to promote service excellence in all types of libraries and library systems.	FY2003–2007
• Introduce service improvement and evaluation processes to all types of libraries and library systems to help them use performance (outputs) and results (outcomes) in measuring their progress towards excellence.	FY2003–2007
~ Provide State Library and library system staff with “train-the-trainer” instruction in service improvement and evaluation methods.	FY2003–2005
~ Provide library systems with a range of advisory services to support instruction for member library staff in service improvement and evaluation methods.	FY2005–2007
~ Partner with library systems in providing user-friendly, timely, and accurate data for evaluation of library services and programs via the World Wide Web.	FY2003–2007
~ Create opportunities for statewide communication of best practices of exemplary library programs.	FY2003–2007
• Improve the range and depth of expert advisory services available to libraries and library systems to help them respond to changing technologies, demographics, and user needs in support of improved access to information for all New Yorkers.	FY2003–2007
~ Provide State Library and library system staff with training opportunities to improve skills in the areas of leadership, facilitation, communication, project management, conflict negotiation, and others as needed.	FY2003–2007

- Partner with public library systems and other organizations to help libraries and communities create and strengthen Public Library Districts so that every New Yorker will have a local library and every library will have a reliable, adequate source of local funding. FY2003–2007
- Partner with public library systems and other organizations to periodically assess public library needs for building construction, expansion, and renovation, and actively use the data to propose solutions to policymakers. FY2003–2007
- Strengthen the State Library’s partnership with the State Education Department’s Office of Elementary, Middle, Secondary and Continuing Education (EMSC), school library systems, and others to improve and enhance New York’s school library media programs. FY2003–2007
- Strengthen the State Library’s partnership with academic and research libraries and reference and research library systems, the State Education Department’s Office of Higher Education, and others to improve and enhance New York’s academic and research libraries. FY2003–2007
- Improve library system programs and services by aligning system plans of service to other key activities such as annual reports, grant applications, and program evaluations. FY2003–2007

Grants Program

In the area of Service Improvement, the LSTA Grants Program will support libraries’ and library systems efforts to help their member libraries evaluate and improve services. Among the topics that may be included in annual Grant Program Guidelines are the following:

- assessing user or community needs
- providing leadership for managing change in libraries in the 21st century
- developing skills levels of staff to meet changing needs
- creating models for collaboration and partnerships
- introducing service improvement and evaluation processes

TIMEFRAME: FY2003–2007.

Key Output Targets

- Twenty-five State Library librarians who work with libraries, library systems, and the public will complete a series of training workshops in evaluation methods.
- Seventy-four library system and 10 State Library staff will complete a train-the-trainer session in evaluation methods by 2007.
- Five hundred member library and library system staff will complete six hours of LSTA-supported training in service improvement and evaluation methods by 2007.
- Seventy-five percent of State Library librarians will complete at least six hours annually in management or leadership training by 2007.
- Ten percent of library systems will offer management and leadership training annually to system and member library staff through the LSTA program by 2007.

- Seventy-four library systems will offer NY EXCELS incentive programs to member libraries by 2005.
- The number of local libraries who are benefiting from NY EXCELS will reach 500 by 2007.
- The number of elementary school students who have access to a certified school library media specialist will increase by 15 percent by 2007.

Key Outcome Targets

- By 2006, 60 percent of library and library system staff and trustees will indicate in focus groups that they are better able to anticipate and meet changing customer needs and better able to measure their progress towards achieving service excellence as a result of the evaluation methods training, expert advisory services, and other support provided by the State Library.
- By 2007, average local income statewide for support of public libraries will increase to \$40 per capita.
- By 2007, 50 percent of the 1.3 million formerly unserved New Yorkers will have a local library in their community.

Goal 4: New York State libraries, library systems, library organizations, and the New York State Library will strengthen public policy support for upgrading library services for every New Yorker through statewide communication and advocacy efforts.

This goal supports the following:

Regents Initiative:

10. Provide leadership for change by strengthening the expertise and accountability of the New York State Library and by creating a statewide advocacy coalition.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
2. Developing library services that provide all users access to information through local, State, regional, national, and international electronic networks
3. Providing electronic and other linkages among and between all types of libraries
4. Developing public and private partnerships with other agencies and community-based organizations
5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

Needs identified by the Regents Commission and described in their report indicate that public support for libraries must be strengthened so that all types of libraries and library systems can provide New Yorkers with equitable access to quality library service. All librarians need to make a concerted effort to provide leadership, advocacy, and accountability.

The State Library must take a leadership role in the areas of communication and advocacy, clearly articulating the information needs of New York's library users, individual libraries, and library systems within New York State government and the federal government. At both the State and the local levels, education and library agencies and various library and business organizations must form partnerships to develop a statewide advocacy coalition.

Program Activities

Statewide Services

ACTION

- Enhance the State Library's marketing and public-relations efforts to establish a supportive attitude from the public, the library community, key partners in the education and business communities, and policymakers.

TIMEFRAME

FY2003–2007

- ~ Develop a statewide advocacy plan in partnership with representatives from the library community, and communicate this plan to the library community and other stakeholders. FY2003–2004
- ~ Form partnerships with policymakers, stakeholders, and the business community that strengthen public awareness and library-advocacy efforts throughout New York State. FY2003–2005
- ~ Develop advocacy tools with the help of the library community that will explain the need for all types of library services. FY2003–2005
- ~ Assist in creating advocacy task forces within various library and education groups to further statewide library initiatives. FY2003–2006
- Improve mechanisms to share information concerning the impact of LSTA federal funds with the library community, policymakers, and the general public. FY2003–2007
 - ~ Develop, publish, and distribute brochures that show the relevance and importance of the LSTA program. FY2004–2007
 - ~ Expand the New York State Library website to promote reporting of LSTA-supported activities. FY2003–2005
- Expand awareness of Research Library services within New York’s library community. FY2003–FY2007

Grants

In the first year of this Plan, the State Library expects to support the activities under this goal through Statewide Services. However, as a statewide education and advocacy plan develops, if library community representatives and State Library staff involved in this planning identify a need for local grants, the State Library may develop a grants program for future years. If this occurs, information will be included in the annual Grant Program Guidelines.

Key Outputs

- The number of advocacy tools developed to help libraries at the local level will double by 2007.
- The number of library and other organizations requesting advocacy materials will double by 2007.
- The number of hits pertaining to advocacy information on the New York State Library website will increase 10 percent each year.
- The number of hits pertaining to LSTA-supported activities on the New York State Library website will increase 10 percent each year.
- The number of issues of *New NYSILL Notes* and the number of NYLINE messages to libraries about the Research Library’s services to other libraries will increase by 10 percent by 2004.

Key Outcomes

- By 2007, New York State policymakers will provide State funding to implement the Regents initiatives based on the Regents Commission's recommendations.
- By 2006, library and library system staff and trustees will indicate in focus groups that they have the tools and information necessary to conduct their own advocacy efforts.
- By 2005, a universal advocacy plan will exist to unite all types of libraries in New York State.
- By 2005, a library advocacy partnership, coordinated by the State Library, will exist among the various business, government, and library communities in New York State.
- By 2007, at least 75 percent of library and library system staff will indicate in focus groups that they are aware of and use the collections and/or services of the Research Library.

STAKEHOLDER INVOLVEMENT

The development of New York's second LSTA Five-Year Plan is inextricably linked to the work of the Regents Commission on Library Services, described under "Needs Assessment." The Commission developed its visionary recommendations after extensive work with a wide range of stakeholder groups and input from a broad range of constituent groups, including library users. Much of this LSTA Five-Year Plan builds on the Commission's important groundbreaking work. In addition, the development of this plan is closely linked to the work of the NOVEL Planning Team and to the process of organizing and implementing the evaluation of the current LSTA Plan. The complete report of the State Library's evaluation of the first five years of New York's LSTA program was submitted to the Institute of Museum and Library Services in April, 2002. It is available at <http://www.nysl.nysed.gov/libdev/lsta/eval/overall.htm>.

In 1999, the State Library established an Evaluation Committee composed of State Library staff, several members of the LSTA Advisory Council, and a planning consultant. This group worked from November 1999 to May 2000 to develop an RFP for an outside evaluation consultant contract. Work with the outside evaluation consultant began in November 2000 and continued to January 2002.

Throughout the information-gathering stage of the evaluation process, from November 2000 through October 2001, the outside evaluator provided feedback to the State Library and the Evaluation Committee. The consultant used a series of focus forums around the State to gather qualitative information. The forums yielded not only observations on the past five years but also suggestions for a future plan.

After the evaluation process began, the State Library established a Five-Year Plan Steering Group including the planning consultant and State Library and State Education Department staff to develop a draft of a new LSTA Five-Year Plan for New York State. With the conclusions and data from the Regents Commission and the work of the NOVEL Planning Team, the Steering Group had very current information on statewide library needs and a concrete plan for implementing NOVEL. The information from the focus forums provided the Steering Group with very current feedback on problems and concerns with the old LSTA plan as perceived by the library community, as well as suggestions for the new plan.

From September, 2001 to March, 2002, the LSTA Advisory Council and the Regents Advisory Council reviewed several drafts of the new Five-Year Plan. At their March 6 meeting, the LSTA Advisory Council recommended that the State Library post the current draft on its website and invite comment from the entire library community.

The State Library staff used a variety of strategies to ensure that staff of all libraries and library systems were aware of the opportunity to review the plan. For example, State Library staff contacted specific groups of stakeholders, such as system and central library directors, public library system outreach coordinators, the Public Library System Directors Organization (PULISDO), the New York 3R's Organization (NYTRO) and the School Library System Association (SLSA), the New York Library Association (NYLA), and other groups to ask them to comment on the plan.

In March, the State Librarian discussed the major elements of the draft Plan with the Cultural Education Committee of the Board of Regents. After consideration of all comments from the library community, as well as discussions with the LSTA Advisory Council, the Regents Advisory Council on Libraries, and the Regents Cultural Education Committee, the State Library presented the final Plan to the Board of Regents who approved it on June 18. The plan will be submitted to the Institute of Museum and Library Services (IMLS) by the July 31 deadline.

In addition to including a wide range of stakeholders in the development of New York's second LSTA Five-Year Plan, the State Library will continue to involve a large number of stakeholders in various aspects of its implementation. For example, the successful implementation of NOVEL will require the cooperation and collaboration of many individuals and groups in addition to libraries and library systems of all types—e.g., the Governor and the New York State Legislature, the Governor's Office for Technology, other government agencies, educational groups, businesses, the vendor community, and library organizations.

The Regents Advisory Council on Libraries will ensure that execution of the second Five-Year Plan is coordinated with the overall plan and priorities of the New York State Library.

Discussions are currently underway to decide how best to bring a unified approach to statewide library policy in terms of State and federal funding. The State Library is working on a plan to reform the LSTA Advisory Council as a standing committee of the Regents Advisory Council on Libraries during 2002 or 2003. Both Councils have agreed that this reorganization will combine a unified approach to policy with the need for broad representation of stakeholder involvement in the LSTA program.

COMMUNICATIONS

After this plan has been approved by IMLS, it will be published in print form and on the State Library website. It will be available on the website throughout the term of the Five-Year Plan.

As a result of the evaluation process for the current plan, the State Library is aware of a need to communicate more clearly to the library community the rationale for the content of the new Five-Year Plan and for the annual Grant Program Guidelines. The evaluator has suggested more frequent use of teleconference, videoconference, and other techniques to assure broader and deeper coverage of issues related to the LSTA program within the library community.

The State Library has informed the library community that the plan may be amended annually and will include a process for comment and annual review. The State Library plans to publicize results of its annual tracking of the Five-Year Plan so that the library community is aware of progress being made. In addition, the State Library will work closely with ad hoc committees and specific groups within the library community to discuss the plan's implementation, the Grant Program Guidelines, and other important issues relating to the LSTA program.

MONITORING PROCEDURES

The State Library will assign appropriate staff to track implementation of the Five-Year Plan and prepare appropriate reports as required. An important part of this tracking process will be the monitoring of subgrantee projects funded under the LSTA Grants Program. Many Library Development staff who have consulting and liaison roles will make annual onsite visits to all subgrantees. Currently, annual reports are required from each subgrantee, and their reports will be a part of the monitoring procedure.